



## IN THE UNITED STATES PATENT AND TRADEMARK OFFICE

In re Application ~~U.S. PATENT & TRADEMARK OFFICE~~ Rao, et al. ) Group Art Unit: 1742  
Serial No: 10/829,660 )  
Filed: April 22, 2004 ) Examiner: Alvin T. Raetzsch  
Confirmation No: 6822 ) Our Account No: 04-1403  
Title: Novel Synthesis Of Branched Carbon Nanotubes ) Customer No: 22827

Commissioner for Patents  
U.S. Patent and Trademark Office  
Post Office Box 1450  
Alexandria, VA 22313-1450

Sir:

The following is an Information Disclosure Statement for the captioned patent application, pursuant to 37 CFR Sections 1.56, 1.97, and 1.98.

1.  Attached hereto is:

- a.  A list of materials for consideration per Rule 98(a)(1): 1 page(s) citing 7 item(s)
- b.  A legible copy of each patent, publication, or other item listed per Rule 98(1)(2), unless not required per Rule 98 and/or as indicated on the attached list(s):  
1 item(s) attached
- c.  For each non-English language item listed, pursuant to Rule 98(a)(3), a concise explanation of the relevance thereof as it is presently understood by the individual designated in Rule 56(c) most knowledgeable about the content of such items: \_\_\_\_\_

[ ] Such explanation is provided in the Search Report from a corresponding application enclosed herewith along with any enclosed translation into English.

2.  This Information Disclosure Statement is being filed [CHECK ONE]:

- a.  WITHIN THREE MONTHS of the application filing date, national stage date of entry, or along with or after a request for continued examination, OR BEFORE the mailing date of a first Office Action on the merits, which ever event occurs last, WHEREFORE per Rule 97(b) NO filing fee or Rule 97(e) certificate is required.

- b.  AFTER the time periods of section 2.a above, but BEFORE a Final Action, Notice of Allowance OR an action that otherwise closes prosecution, WHEREFORE PER Rule 97(c) submitted herewith is [CHECK ONE]:

i.  Certification per Rule 97(e); OR

ii.  Filing Fee per Rule 17(p) .....\$180.00

- c.  AFTER a Final Action OR Notice of Allowance, but BEFORE payment of the issue fee, WHEREFORE per Rule 97(d) submitted herewith is:

i.  Certification per Rule 97(e); AND

ii.  Filing fee per Rule 17(p) .....\$180.00

3.  Rule 97(e) Certification; per Rule 97(e), the undersigned certifying party make the following certification statement [CHECK ONE]:

- a.  That each item of information contained in this Information Disclosure Statement was first cited in a communication from a foreign patent office in a counterpart foreign application not more than three months prior to the filing of this statement; OR

- b.  That no item of information contained in this Information Disclosure Statement was cited in a foreign patent office in a counterpart foreign application and to the knowledge of the undersigned after making a reasonable inquiry, was known to any individual designated in Rule 56(c) more than three months prior to the filing of this statement.



CERTIFYING PARTY (if different from bottom signature; omission here indicates that certification is being made by signer per signature below).

Name: \_\_\_\_\_  
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ADDRESS:  
Post Office Box 1449  
Greenville, SC 29602 USA  
Customer ID No.: 22827  
Telephone: 864-271-1592  
Facsimile: 864-233-7342

DORITY & MANNING, ATTORNEYS AT LAW, P.A.

By: Christina L. Mangelsen, Patent Agent

Reg. No: 50,244

Signature: Christina L. Mangelsen

Date: April 7, 2006

CERTIFYING PARTY (if different from bottom signature; omission here indicates that certification is being made by signer per signature below).

Name: \_\_\_\_\_  
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By: Christina L. Mangelsen, Patent Agent

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Signature: 

Date: April 7, 2006

(Rev. 5/92) Information Disclosure Statement List By Applicant(s) Under 37 CFR Section 1.98(a)(1) (Use several sheets if necessary)		Attorney Docket Number: CXU-406	Serial Number: 10/829,660
		Applicant: Rao et al.	
		Filing Date: April 22, 2004	Group Art Unit: 1754
		Confirmation No: 6822	

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## NOTE:

If no indication is made in the column marked "COPY NOTE," the required legible copy of the corresponding item is submitted herewith; otherwise, a copy is not required and/or not submitted, for the following reason(s) [corresponding reason number is listed in "COPY NOTE" column]

(1) This item is cumulative, per Rule 98(c)  
(2) A copy of this item was previously cited by or submitted to the U.S. Patent and Trademark Office in:

USSN \_\_\_\_\_, filed \_\_\_\_\_, or  
USSN \_\_\_\_\_, filed \_\_\_\_\_;

Relied on under 35 U.S.C. Section 120, per Rule 98(d)

(3) Both reasons (1) and (2) apply  
(4) No legible complete copy is possessed, in custody of controlled, or readily available  
(5) Per the U.S. Patent and Trademark Office's waiver of Rule 98(a)(2)(i), the item is a U.S. patent or patent application publication, and the present application was filed after June 30, 2003.

## U.S. PATENT DOCUMENTS

EXAMINER INITIALS	PATENTEE NAME	PATENT NUMBER							ISSUE DATE	COPY NOTE
	Xu et al.	5	8	7	2	4	2	2	02/16/1999	5
	Cumings et al.	6	7	0	9	5	6	6	03/23/2004	5
	Kishi et al.	6	8	6	9	5	8	1	03/22/2005	5

## U.S. PATENT APPLICATION PUBLICATIONS

EXAMINER INITIALS	APPLICANT'S NAME	PUBLICATION NUMBER							PUBLICATION DATE	COPY NOTE
	Mauthner et al.	2002	0	1	0	2	3	5	08/01/2002	5
	Lieber et al.	2003	0	0	8	9	8	9	05/15/2003	5
	Fan et al.	2004	0	1	0	1	6	8	05/27/2004	5

## FOREIGN PATENT DOCUMENTS

EXAMINER INITIALS	COUNTRY	DOCUMENT NUMBER	PUBLICATION DATE	TRANSLATION			COPY NOTE
				YES	NO	N/A	

\*"NO" means that no copy of an English language translation is within the possession, custody, or control of, or is readily available to any individual designated in Rule 56(c).

EXAMINER INITIALS	OTHER DOCUMENTS	COPY NOTE
	Specify author (if any), Title, Pertinent Pages, Date & Place of Publication Article - <i>Adjustable boron carbonitride nanotubes</i> , Zhi et al., Journal of Applied Physics, Vol. 91, No. 8, 15 April 2002, pp. 5325-5333	
EXAMINER		DATE CONSIDERED
Examiner: initial if citation considered, whether or not citation is in conformance with MPEP 609; draw line through citation if not in conformance and not considered. Include a copy of this form with the next communication to applicant.		



**IN THE UNITED STATES PATENT AND TRADEMARK OFFICE**

Applicant: Rao et al.

Docket No: CXU-406

Serial No: 10/869,660

Group No: 1754

Confirmation No: 6822

Examiner: Alvin T. Raetzsch

Customer No: 22827

Filed: April 22, 2004

Date: March 27, 2006

For: Novel Synthesis Of Branched Carbon Nanotubes

**RELATED U.S. PATENT APPLICATION**

ASSISTANT COMMISSIONER FOR PATENTS

P.O. Box 1450

Alexandria, VA 22313-1450

The following commonly assigned U.S. Patent Application is being cited to the Examiner for review and consideration. Once the application has been reviewed, it is requested that the Examiner place his or her initial to the left of the identified patent on the list document to indicate that the specific patent application has been considered.

**RELATED U.S. APPLICATION**

<u>Examiner's Initial</u>	<u>Inventor</u>	<u>Serial Number</u>	<u>Filing Date</u>	<u>Title of Application</u>
_____	Keskar et al.	11/134,052 (CXU-454)	05/20/2005	Process for Preparing Carbon Nanostructures with Tailored Properties and Products Utilizing Same